

Alabama Board of Examiners for Dietetic/Nutrition Practice



Functional Analysis & Records Disposition Authority

**Revision
Presented to the
State Records Commission
January 25, 2001**

Table of Contents

Functional and Organizational Analysis of the Alabama Board of Examiners for Dietetic/Nutrition Practice	3
Sources of Information.....	3
Agency Organization	3
Agency Function and Subfunctions	3
Analysis of Record Keeping System and Records Appraisal of the Alabama Board of Examiners for Dietetics/Nutrition Practice	6
Agency Record Keeping System	6
Records Appraisal	6
Permanent Records List	8
Alabama Board of Examiners for Dietetic/Nutrition Practice Records Disposition Authority.....	9
Explanation of Records Requirements.....	9
Records Disposition Requirements	10
Promulgating Rules and Regulations.....	10
Licensing and Supervising.....	10
Investigating.....	11
Administering Internal Operations: Managing the Agency.....	11
Administering Internal Operations: Managing Finances	11
Administering Internal Operations: Managing Human Resources	12
Administering Internal Operations: Managing Properties, Facilities, and Resources	14
Approval of Records Disposition Authority (RDA)	15

Functional and Organizational Analysis of the Alabama Board of Examiners for Dietetic/Nutrition Practice

Sources of Information

- Representative of the Board of Examiners for Dietetics/Nutrition Practice
 - Jeanne Stanfield, Executive Secretary
 - Jane Brannon, Legal Counsel
- Code of Alabama 1975 § 34-34A-1 through § 34-34A-15
- Alabama Administrative Code Chapters 282-X-1 to 282-X-6
- Board of Examiners for Dietetic/Nutrition Practice Audit Report (1994-1996)
- Alabama Government Manual (1994)
- General Disposition Authority (GDA)
- Government Records Division, State Agency Files (1985-ongoing)

Agency Organization

The State Board of Examiners for Dietetics/Nutrition Practice consists of three members appointed by the Governor. Two members must be licensed dietitians/nutritionists who must have at least seven years of professional experience, with the last two years in Alabama. The third member is a lay person who shall not be a spouse or relative of any other member of the board. Members serve for a term of three years and may succeed themselves for one additional term. The board meets no less than twice each year. The board employs an executive secretary to operate its office. An organizational chart is attached.

Agency Function and Subfunctions

Act No. 89-866 of the 1989 Regular Session of the Alabama Legislature created the board. The purpose of the board is to license and regulate the profession and practice of dietetics and nutrition, defined as the integration and application of the principles derived from the sciences of nutrition, biochemistry, food, physiology, management and behavioral and social sciences to achieve and maintain people's health through the provision of nutrition care services. The board determines the qualifications of applicants, issues licenses, and receives and processes complaints.

In the performance of its mandated functions, the board may engage in the following subfunctions.

- **Promulgating Rules and Regulations.** The board is obligated to implement the Alabama Dietetics/Nutrition Practice Act of 1989 by adopting and amending, if necessary, all rules, regulations, and minimum standards for licensing of dietitians/nutritionists. This subfunction involves the board's work in developing, implementing, and managing the licensing and regulatory system for persons engaged in the practice of dietetics and nutrition.

- **Licensing and Supervising.** This subfunction represents the efforts of the board staff to screen applicants' qualifications and fitness in terms of education and professional experience for licensure. The board issues temporary licenses to those who meet all licensing requirements except the examination for licensure. The temporary license expires one year from the date of issuance and may be renewed for one more year. Applicants with temporary licenses must pass a national examination administered by the Commission on Dietetic Registration (a member of the National Commission for Health Certifying Agencies) in order to obtain a regular license. The Commission on Dietetic Registration issues a card to each applicant who has passed the national examination as evidence for licensure by the board. The Board has no access to actual examinations or answer sheets. Regular licenses issued by the board expire at the end of September every odd year and may be renewed by submission of evidence of compliance with the requirements of continuing education and a renewal fee. The board will not renew any license that has been expired for more than a year.
- **Investigating.** The board is obligated, upon the receipt of oral or written complaints, to process and investigate all consumer complaints concerning licensed dietitians/nutritionists. If the complaint is substantiated, the board will conduct hearings that may result in the revocation/suspension of licenses, or in other disciplinary actions.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

Managing the Agency: Activities include internal office management activities common to most government agencies such as corresponding and communicating, scheduling, meeting, documenting policy and procedures, reporting, litigating, legislating (drafting, tracking), publicizing and providing information, managing records, and managing information systems and technology.

Managing Finances: Activities include budgeting (preparing and reviewing budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

Managing human resources: Activities include recruiting and hiring eligible individuals to fill positions within the agency; providing compensation to employees; providing benefits to employees such as leave, health insurance, unemployment compensation, worker's compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, granting leave, and monitoring the accumulation of leave; training and providing continuing education

for employees; and disciplining.

Managing properties, facilities, and resources: Activities include inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; leasing and/or renting offices or facilities; providing security for property managed by the agency; insuring property; and assigning, inspecting and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Alabama Board of Examiners for Dietetics/Nutrition Practice

Agency Record Keeping System

The Alabama Board of Examiners for Dietetic/Nutrition Practice currently operates a hybrid record keeping system composed of paper and electronic records.

Paper-based System: Most of the agency's records are maintained in paper format and stored on-site.

Computer Systems: The board utilizes one personal computer to perform work associated with routine office operations and the maintenance of a licensee database. Software utilized includes Professional File and Professional Write. Computer files are backed up daily on floppy disks that are maintained in the board's office. At this time the agency creates a paper copy of all electronic records.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Board of Examiners for Dietetics/Nutrition Practice: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered their active life and be disposed of once all fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the agency are discussed below:

- **Dietitian/Nutritionist Licensure Files.** The board creates these records to document the qualifications of dietitians/nutritionists licensed by the board and includes ongoing information relative to licensees. All licensees are required to renew their licenses with the board every two years by providing evidence of continuing education and paying a renewal fee. Licensees will not be allowed to renew their licenses if more than one year has passed since their expiration. These files should be maintained long enough to meet reference needs and audit review requirements after the licensee's license has lapsed.
- **Complaint Files.** These files contain information concerning complaints and the investigations of alleged violations, disciplinary hearings and actions, such as revocation or suspension of licenses, taken by the board. Summarized information about these activities and the board's actions/orders is provided in the board's meeting minutes.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Promulgating Rules and Regulations

- **Meeting Minutes of the Board.** As mandated by the Code of Alabama 1975 § 34-34A-6(g) and Alabama Administrative Code Chapter 282-X-9-.01(4), the board members should meet no less than twice a year with one meeting being held during the month of August, at which time a chairman will be elected. Items discussed at these meetings may include review and approval of new licensees, updates and proposed actions on complaints, financial statements, development of new standards or guidelines for licensure and continuing education, staff appointment/changes, travel requests, office lease contracts, and sunset review status. An updated roster of all licensees is always provided to the board at its meetings and attached to the meeting minutes for reference. Information on the roster includes each licensee's name, home address, and telephone number, workplace, type of license, license number, date of issuance, and expiration date. The meeting minutes are considered as the core documentation of the board's major functions with regard to administration and enforcement of its rules and regulations. **(Bibliographic Title: Meeting Minutes)**
- **Informational Publications.** These publications document the board's efforts in communicating with the public regarding dietetic/nutrition education and practice, licensure procedures, and other board related services. **(Bibliographic Title: Informational Publications)**

Licensing and Supervising

Permanent records documenting this subfunction are found in the Meeting Minutes of the board as described in the Promulgating Rules and Regulations subfunction.

Investigating

Permanent records documenting this subfunction are found in the Meeting Minutes of the board as described in the Promulgating Rules and Regulations subfunction.

Administering Internal Operations

- **Administrative Correspondence.** These records include correspondence with state officials, legal/advisory opinion correspondence, correspondence between the board and the director, and correspondence between the Alabama Board of Examiners in Dietetic/Nutrition Practice and other state agencies. Because the records document the policies and procedures of the agency and how it interacts with other agencies/boards, the records are deemed permanent. **(Bibliographic Title: Administrative Correspondence)**

Permanent Records List

Alabama Board of Examiners for Dietetic/Nutrition Practice

Promulgating Rules and Regulations

1. Meeting Minutes of the Board
2. Informational Publications

Administering Internal Operations

1. Administrative Correspondence

Alabama Board of Examiners for Dietetic/Nutrition Practice Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Alabama Board of Examiners for Dietetic/Nutrition Practice. The RDA lists records created and maintained by the Alabama Board of Examiners for Dietetic/Nutrition Practice in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Under Code of Alabama 1975 § 36-12-40, "every citizen has a right to inspect and take a copy of any public writing in this state, except as otherwise expressly provided by statute." Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Alabama Board of Examiners for Dietetic/Nutrition Practice records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept.
- Electronic mail is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and

have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Alabama Board of Examiners for Dietetic/Nutrition Practice and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

Promulgating Rules and Regulations

MEETING MINUTES OF THE BOARD

Disposition: PERMANENT RECORD.

INFORMATIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

Administrative Procedures Rule Filings

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

REGISTER OF ADMINISTRATIVE RULES

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 41-22-6).

Appointments to the Board

Disposition: Temporary Record. Retain until the completion of one audit and the release of the audit report after the end of the fiscal year in which the member's term expires.

Licensing and Supervising

Dietitian/Nutritionist Licensure Files

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the license becomes inactive.

Annual Renewal Applications and Continuing Education Records

Disposition: Temporary Record. Retain 4 years after the end of the fiscal year in which the license is renewed.

Investigating

Complaint Files

Disposition: Temporary Record. Retain 5 years after the final settlement of the complaint.

Administering Internal Operations: Managing the Agency

ADMINISTRATIVE CORRESPONDENCE

Disposition: PERMANENT RECORD.

Quarterly Program Performance Report Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the implementation of the agency's RDA (copies of transmittals forms to Archives or State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the RDA is superseded.

Computer systems documentation (hardware/software manuals and diskettes, warranties, records of access/authorities, file naming conventions, Y2K records)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by State Agencies

Disposition: Temporary Record. Retain 3 years.

Administering Internal Operations: Managing Finances

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the State Treasury

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses

- a. Original Bid Records Maintained in the Purchasing Office of the Agency for Contracts over \$7500
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.
- b. Duplicate copies of bid (where originals are maintained by the Finance Department - Division of Purchasing)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

Audit Reports

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

Administering Internal Operations: Managing Human Resources

Position Classification Files

Disposition: Temporary Record. Retain 4 years after position is reclassified.

Application Materials

Disposition: Temporary Record. Retain 1 year.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes (including Form 941)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's work history - generally maintained as a case file

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Records documenting employees' daily and weekly work schedules

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's work history, generally maintained as a case file

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of final leave status (cumulative leave)

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Employee Flexible Benefits Plan Files

- a. General information

Disposition: Temporary Record. Retain until superseded.

- b. Other (applications, correspondence)

Disposition: Temporary Record. Retain 6 years after termination of participation in program.

Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Administering Internal Operations: Managing Properties, Facilities, and Resources

SEMIANNUAL INVENTORY LISTS

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 36-16-8 [1]).

Transfer of State Property Forms (SD-1) (Agency copies)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the items were removed from inventory.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Real Property Leasing/Renting Records

Disposition: Temporary Record. Retain 6 years after expiration of the lease.

Facilities/Building Security Records (including visitor logs)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Motor Pool Vehicle Use Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Building Maintenance Work Orders

Disposition: Temporary Record. Retain 1 year.

Approval of Records Disposition Authority (RDA)

By signing this agreement, the Alabama Board of Examiners for Dietetic/Nutrition Practice acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Alabama Board of Examiners for Dietetic/Nutrition Practice will designate a managerial position as the agency records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, submitting an annual report on records management activities to the State Records Commission in January of each year, and ensuring the regular implementation of the agency's approved RDA.
- Permanent records in the Alabama Board of Examiners for Dietetic/Nutrition Practice's custody will be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The Alabama Board of Examiners for Dietetic/Nutrition Practice should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- The Alabama Board of Examiners for Dietetic/Nutrition Practice agrees to allow the staff of the State Records Commission or the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the agency and to inspect records destruction documentation. Government Records Division archivists are available to train the agency's staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on January 25, 2001.

Edwin C. Bridges, Chairman
State Records Commission

Date

This records disposition authority is hereby adopted.

Jeanne Stanfield, Executive Secretary
Alabama Board of Examiners for Dietetic/Nutrition Practice

Date